
**TITLE III-B PERFORMANCE REVIEW TOOL
HOUSING AND HOME IMPROVEMENT (H/HI)
NORTH CAROLINA DIVISION OF AGING AND ADULT SERVICES
NC Area Agencies on Aging and
NC DAAS Program Compliance Representatives**

MONITORING TOOL: PART I

H/HI Provider / Agency: _____

H/HI Provider / Agency Staff Interviewed: _____

Date of monitoring visit: _____ Program Fiscal Year Reviewed: _____

Date of last monitoring visit: _____

HCCBG MONITOR: _____

Documentation written in **BOLD** throughout this tool indicates program compliance requirements with
supporting administrative code references

The Housing and Home Improvement monitoring tool is divided into three parts:

I. Program Administration

Monitoring Tool: Part I is used by monitor to document program compliance requirements that are accessed through administrative interviews and agency policy and procedure review.

II. Client Record Review

Following interviews and policy reviews, monitor will indicate to the service provider which client service files should be pulled; review using Monitoring Tool: Part II.

III. Summary of Visit – A review of the aforementioned tools will determine whether the service provider is in compliance; requires technical assistance and or has findings of non-compliance.

A. HOUSING

10A NCAC 06E .0301

Housing services support independent living by providing information to individuals and families to enable them to obtain housing, retain the housing they have or return to independent housing. The housing information includes: fair housing; foreclosures; grants or loans for home repair; home buying; homelessness prevention; independent housing options and locations; landlord tenant relations; mortgage delinquency and default resolution counseling; predatory lending; reasonable accommodations; reverse mortgage counseling and tenant's rights and responsibilities.

This information and referral service is an optional service but is very important as individuals obtain and retain suitable housing.

Provides housing services Yes ☐ No ☐ N/A ☐

List services provided: _____

Comments: _____

B. HOME IMPROVEMENT

10A NCAC 06E .0301

Home improvement services identify health and safety issues affecting the home or areas adjacent to the home in which an individual or family lives and provides needed improvements to resolve those issues. Health and safety issues include security enhancement; minor home repairs; mobility and accessibility improvements; and basic household furnishings and home appliance repair, replacement or purchase.

Service Provider agency can provide any or all of the following. Requests for areas not listed may be made as a waiver request.

Security enhancements:

- a) Door knobs installed with reliable lock/key and or dead lock bolts
- b) Windows fitted with reliable locks
- c) Emergency response systems installed (not maintained)
- d) Smoke/carbon monoxide detectors installed (not maintained)

Provides security enhancements Yes ☐ No ☐ N/A ☐

List services provided: _____

Comments: _____

Minor home repairs:

- a) Repair to primary bathroom sink, shower/tub or commode
- b) Repair to kitchen sink
- c) Doorways widened
- d) Floors repaired
- e) Doors/windows repaired or replaced
- f) Shingles and roofing felt replaced

Provides minor home repairs Yes ☐ No ☐ N/A ☐

List services provided: _____

Comments: _____

Mobility and accessibility improvements:

- a) Grab bars or handrail installation with solid blocking as needed
- b) Thresholds modified
- c) Ramps built and installed within or adjacent to the home

Provides mobility and accessibility improvements Yes ☐ No ☐ N/A ☐

List services provided: _____

Comments: _____

Basic household furnishings and home appliance repair, replacement or purchase:

- a) Chair
- b) Mattress/box springs
- c) Kitchen stove
- d) Hot water heater
- e) Refrigerator
- f) Washing machine
- g) Heating or cooling unit

Provides furnishings and appliances Yes ☐ No ☐ N/A ☐

List services provided: _____

Comments: _____

C. PROHIBITED ACTIVITIES

10A NCAC 06E .0402

- a) **Rent; Utility bills; Food; Medicine; Security deposits; Taxes**
- b) **Home improvements negatively affecting the structural integrity of the home**
- c) **Duplication of services to the same home during a consecutive three year period**

Has a policy which prohibits money from being used for rent, utilities, food, medicine, security deposits, taxes Yes ☐ No ☐ N/A ☐

Has a policy which prohibits home improvements which could negatively affect the structural integrity of the home Yes ☐ No ☐ N/A ☐

Has a policy that prohibits duplication of home improvement services to homes during a 3 year period
Yes ☐ No ☐ N/A

Comments: _____

D. SERVICE PROVIDER RESPONSIBILITIES
10A NCAC 06E .0401

The housing and home improvement service provider shall comply with the following issues:

Provides orientation, training or supervision for volunteers assisting with services

Yes ☐ No ☐ N/A ☐

Ask to see orientation material and note who does training/supervision: _____

Comments: (how many volunteers might be used annually and what faith based or civic groups assist with service provision) _____

Maintains client record confidentiality Yes ☐ No ☐

View written policies and procedures related to confidentiality (HCCBG Procedure Manual Section 6):

Comments: _____

Maintains a listing of individuals waiting for services Yes ☐ No ☐ N/A ☐

Note who submits this information into the ARMS system and note number on waiting list: _____

Comments: _____

E. WAIVER REQUESTS
10A NCAC 06E .0403

The service provider agency can request a waiver.

Has utilized the waiver request option Yes ☐ No ☐

List services requested: _____

Comments: _____

F. CONFLICT OF INTEREST
General Statute § 142-6.1

Each private, non-profit entity receiving state funds, shall file with the AAA a notarized copy of their policy addressing conflicts of interest that may arise involving their employees and the members of their board of directors or other governing body.

Has conflict of interest policy available for review Yes ☐ No ☐ N/A ☐

Comments: _____

G. ADMINISTRATIVE LETTER
Number 05-4 dated June 15, 2005

Each client receiving services must be registered in ARMS appropriately as required by Administrative Letter number 05-4 dated June 15, 2005

Clients are entered appropriately into the ARMS system Yes ☐ No ☐

Comments: _____

II. Client Record Review Complete Monitoring Tool: Part II

III. Summary of Visit Use the aforementioned tools to determine whether the service provider is in compliance; requires technical assistance and or has findings of non-compliance.

Summary of **Client Record Review**: _____ Number of client files reviewed

- A _____ Number of clients age 60 and older
- B _____ Number of client files with no one able and willing to assist
- C _____ Number of clients living in a county funding housing and home improvement
- D _____ Number of client files with application appropriately signed and dated
- E _____ Number of clients whose home needed services
- F _____ Number of clients or applicants referred to other resources – federal, state and local
- G _____ Number of clients in rental property with appropriate landlord documentation
- H _____ Number of client files with receipts and project reports showing labor, materials and actual administrative costs
- I _____ Number of client files or records showing actual project costs not exceeding \$1,500
- J _____ Number of client files showing 2 opportunities to contribute to service costs

Areas noted requiring technical assistance: _____

Areas noted citing non-compliance: _____

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